

UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>		Attorney Docket No. 57909/391	
		First Inventor Becker	
		Title STRAIN SELECTION OF PNEUMOCOCCAL SURFACE PROTEINS	
		Express Mail Label No. EV138584922US	

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.		ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450	
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 43] <i>(preferred arrangement set forth below)</i> - Descriptive title of the invention - Cross Reference to Related Applications <i>(if applicable)</i> - Statement Regarding Fed sponsored R & D <i>(if applicable)</i> - Reference to sequence listing, a table, or a computer program listing appendix <i>(if applicable)</i> - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 10] 5. Oath or Declaration [Total Pages <input type="checkbox"/>] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Unsigned c. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies; or ii. <input checked="" type="checkbox"/> paper c. <input checked="" type="checkbox"/> Statements verifying identity of above copies
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ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of <i>(when there is an assignee)</i> Attorney 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input checked="" type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Nonpublication request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: <u>Request for Transfer of Computer Readable Copy and Statement in Accordance with 37 CFR 1.821(e)</u>	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u>09/147,875</u> Prior application information: Examiner <u>Rodney P. Swartz</u> Group / Art Unit: <u>1645</u>			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.			

19. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label			or <input checked="" type="checkbox"/> Correspondence address below		
Name Nixon Peabody LLP					
Address Clinton Square, P.O. Box 31051					
City Rochester		State NY		Zip Code 14603-1051	
Country USA		Telephone (585) 263-1304		Fax (585) 263-1600	

Name (Print/Type) Alice Y. Choi		Registration No. (Attorney/Agent) 45,758	
Signature <i>Alice Y. Choi</i>		Date <i>September 30, 2003</i>	

FEE TRANSMITTAL FOR FY 2003

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$1,002)

Complete if Known

Application Number Continuation of 09/147,875
Filing Date Herewith
First Named Inventor Becker
Examiner Name To Be Assigned
Art Unit To Be Assigned
Attorney Docket No. 57909/391

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number 14-1138

Deposit Account Name Nixon Peabody LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	750
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ 750)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
34	-20** = 14	X 18	= 252
Independent Claims	1	-3** = 0	X 84 = 0
Multiple Dependent		X	= 0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 252)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	2053	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	410	2252	205	Extension for reply within second month
1253	930	2253	465	Extension for reply within third month
1254	1,450	2254	725	Extension for reply within fourth month
1255	1,970	2255	985	Extension for reply within fifth month
1401	320	2401	160	Notice of Appeal
1402	320	2402	160	Filing a brief in support of an appeal
1403	280	2403	140	Request for oral hearing
1451	1,510	1451	1,510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive - unavoidable
1453	1,300	2453	650	Petition to revive - unintentional
1501	1,300	2501	650	Utility issue fee (or reissue)
1502	470	2502	235	Design issue fee
1503	630	2503	315	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))
1801	750	2801	375	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- ☐ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450
- ☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____.

Date

Signature

Typed or printed name

SUBMITTED BY

Name (Print/Type) Alice Y. Choi

Registration No. 45,758
(Attorney/Agent)

Signature *Alice Y. Choi*

Complete (if applicable)

Telephone (585) 263-1508

Date September 30, 2003

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE PROTEINS**

Certificate is attached to the **Utility Patent Application Transmittal Letter (1 page)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Shawn A. Lockett
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE
PROTEINS**

Certificate is attached to the **Fee Transmittal for FY 2003 (1 page)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

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Shawn A. Lockett
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE PROTEINS**

Certificate is attached to the **Patent Application including specification, claims and abstract (43 pages)** as filed in the prior application of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Shawn A. Lockett
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mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE
PROTEINS**

Certificate is attached to the **Drawings (10 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

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Shawn A. Lockett
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 57909/391
APPLICANT: Robert S. Becker, David E. Briles, and Susan Hollingshead
TITLE: STRAIN SELECTION OF PNEUMOCOCCAL SURFACE PROTEINS

Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (3 pages)** as filed in the prior application of the above-named application.

EXPRESS MAIL NUMBER: EV138584922US
DATE OF DEPOSIT: September 30, 2003

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Shawn A. Lockett
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mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE PROTEINS**

Certificate is attached to the **Preliminary Amendment (3 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

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(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: **57909/391**
APPLICANT: **Robert S. Becker, David E. Briles, and Susan Hollingshead**
TITLE: **STRAIN SELECTION OF PNEUMOCOCCAL SURFACE
PROTEINS**

Certificate is attached to the **Request for Transfer of Computer Readable Copy
and Statement in Accordance with 37 CFR 1.821(e) and paper copy of Sequence Listing
(15 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138584922US**
DATE OF DEPOSIT: **September 30, 2003**

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mailing paper or fee)


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or fee)